

S/N: 09/819,605

08/13/2004

Docket No.: IWA-168-USAP

1751
41

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Serial No.: 09/819,605

Confirmation No.: 4189

Applicant: Tomoyuki KAWASOE et al.

Art Unit: 1751

Filed: MARCH 29, 2001

Examiner: GUPTA, Yogendra N.

Docket No: IWA-168-USAP

Customer No: 28892

For: HAIR DYE FIXATIVES, HAIR DYES AND HAIR DYEING METHODS

**RESPONSE TO NOTICE UNDER 37 CFR 1.251
FOR PENDING APPLICATION**

RECEIVED

AUG 17 2004

TC 1700

US Patent & Trademark Office
2011 South Clark Place
Customer Window, Mail Stop: RECONSTRUCTION
Crystal Plaza Two, Lobby, Room 1B03
Arlington, VA 22202

Sir:

This paper is responsive to the Notice Under 37 CFR 1.251 that the above-captioned application cannot be located. To assist with the reconstruction of the file, Applicant herein provides a copy of all correspondence between the Office and the undersigned (except for US patent documents).

Attached are:

- 1) PTO-2053-B - Notice Under 37 CFR 1.251
- 2) A copy of the application as originally filed including:

Application Transmittal
Application Data Sheet
Specification

Description	63 pages
Claims	5 pages
Abstract	1 pages
Drawings	3 pages

Declaration and Power of Attorney
Recordation Form Cover Sheet and Assignment
Transmittal and photocopy of first page of certified
copy of priority document

- 3) Filing Receipt dated May 7, 2001

S/N: 09/819,605


08/13/2004

Docket No.: IWA-168-USAP

- 4) Information Disclosure Statement/Form PTO-1449/1
Reference dated May 14, 2001
- 5) Notice of Recordation of Assignment Document dated June
14, 2001
- 6) Notice of Publication of Application dated November 23,
2001
- 7) Non-Final Office Action dated April 5, 2002
- 8) Information Disclosure Statement/Form PTO-1449/4
References (copies of US Patent Documents (2) not
enclosed)
- 9) Amendment in Response to 04/2002 Office Action --
including a marked up copy of the specification and
replacement copy of the specification
- 10) Status Request dated May 21, 2003.

Applicant submits that this is a complete and accurate copy of Applicant's record of all correspondence (except for US patent documents) for the above-captioned application. Further, Applicant is not aware of any correspondence between the Office and Applicant that is not included.

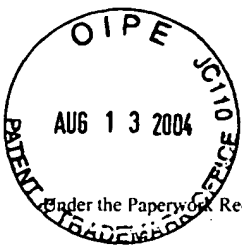
Respectfully submitted,


Ronald R. Snider
Reg. No. 24,962

Date: August 13, 2004

Snider & Associates
Ronald R. Snider
P.O. Box 27613
Washington, D.C. 20038-7613
(202) 347-2600

RRS/bam



In re Application of: Tomoyuki KAWASOE et al.
Application No.: 09/819,605
Filing Date: March 29, 2001
Title: Hair Dye Fixatives, Hair Dyes and
Hair Dyeing Methods

Direct to: Mail Stop RECONSTRUCTION
Commissioner for Patents
P.O. Box 1450
Alexandria, Virginia 22313-1450

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NOTICE UNDER 37 CFR 1.251 - Pending Application

Statement (check the appropriate box):

☒ The copy submitted with this reply is a complete and accurate copy of applicant's record of all of the correspondence between the Office and the applicant for the above-identified application (except for U.S. patent documents), and applicant is not aware of any correspondence between the Office and applicant for the above-identified application that is not among applicant's records.


☐ The copy of the paper(s) listed in the notice under 37 CFR 1.251 is/are a complete and accurate copy of applicant's record of such paper(s).

☐ The papers produced by applicant are applicant's complete record of all of the correspondence between the Office and the applicant for the above-identified application (except for U.S. patent documents), and applicant is not aware of any correspondence between the Office and the applicant for the above-identified application that is not among applicant's records.

☐ Applicant does not possess any record of the correspondence between the Office and the applicant for the above-identified application.

Date

8/13/04


Signature

Ronald R. Snider Reg. # 24,962

Typed or printed name

A copy of this notice should be returned with the reply.

Burden Hour Statement: This collection of information is required by 37 CFR 1.251. The information is used by the public to reply to a request for copies of correspondence between the applicant and the USPTO in order to reconstruct an application file. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This form is estimated to take 60 minutes to complete. This time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, Virginia 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450.

S/N: TBA

3/29/2001

DOCKET NO.: IWA-168-USAP



In re Application of: Tomoyuki KAWASOE et al.

Serial No.: TO BE ASSIGNED

Art Unit: TO BE ASSIGNED

Filed: MARCH 29, 2001

Examiner: TO BE ASSIGNED

For: HAIR DYE FIXATIVES, HAIR DYES AND HAIR DYEING METHODS

UTILITY PATENT APPLICATION TRANSMITTAL
IN ACCORDANCE WITH 37 CFR §1.53 (b)

Assistant Commissioner of
Patent and Trademarks
Washington, D.C. 20231
BOX: PATENT APPLICATION

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TC 1700

Sir:

This application is a:

☒ New Application.

☐ Continuation

☐ Divisional of U.S.P.T.O. Serial Number _____, filed
_____.

☐ Continuation in Part of U.S.P.T.O. Serial Number _____,
filed _____.

The undersigned has been authorized by the Applicant(s),

Tomoyuki KAWASOE

Masatoshi OCHIAI

FOR: Hair Dye Fixatives, Hair Dyes and Hair Dyeing Methods

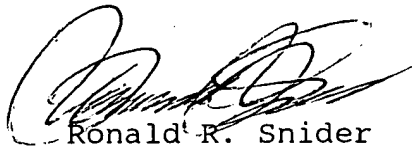
to file the attached specification and required drawings. Please assign a
serial number and accord a filing date to this prospective application.

Enclosed are:

- 63 pages of Specification,
5 page(s) of Claims,
1 page of an Abstract, and
3 sheet(s) of Drawing(s). Total pages in the disclosure are therefore 72
X Return Receipt Postcard (MPEP 503).
X Application Data Sheet
X Newly Executed, Original Oath or Declaration with Power of Attorney
 Signed Statement deleting inventor(s) named in prior application.
 Applicant claims Small Entity status under 37 CFR §1.27.
X Assignment of the Invention and \$40.00.
X A certified copy of Priority Document.
 A Preliminary Amendment.
 Letter to the Official Draftsperson and amended drawing(s).
 An Information Disclosure Statement (IDS)/PTO Form 1449.
X The basic filing fee of \$710.00.
X The fees for the claims to be calculated as follows:

Claims Presented		Less Entitlement		Additional Fees			
				Small Entity		Large Entity	
Total	81	Minus	20	x \$9=	0.00	x \$18=	1,098.00
Indep.	6	Minus	3	x \$40=	0.00	x \$80=	240.00
New Multiple Dependent Claims		-0-		x\$130=	0.00	x\$260=	0.00
And Claims Dependent Thereon		-0-		x\$130=	0.00	x\$260=	0.00
TOTAL ADDITIONAL FEE				0.00		1,338.00	

- X A check in the total amount of \$2,088.00 is enclosed to cover filing fee, Recordation of Assignment fee, and excess claims fee.
- X The Commissioner is hereby authorized to charge to my Deposit Account No. 19-2816 any fees required under any of 37 CFR §§1.16 to 1.17 at any time during the pendency of this application.



Ronald R. Snider
Attorney of Record
Registration No. 24,962

Date: March 29, 2001

Snider & Associates
Ronald R. Snider
P.O. Box 27613
Washington, D.C. 20038-7613
(202) 347-2600

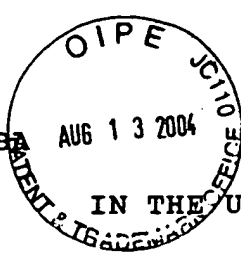
RRS/bam

S/N: TBA

AUG 13 2004

3/29/2001

DOCKET NO.: IWA-168-USAP



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Tomoyuki KAWASOE et al.

Serial No.: TO BE ASSIGNED

Art Unit: TO BE ASSIGNED

Filed: MARCH 29, 2001

Examiner: TO BE ASSIGNED

For: HAIR DYE FIXATIVES, HAIR DYES AND HAIR DYEING METHODS

APPLICATION DATA SHEET

RECEIVED

AUG 17 2004

TC 1700

(1) APPLICANT INFORMATION

First Inventor

Tomoyuki Kawasoe

Residence

Kanagawa, Japan

Mailing Address

c/o Shiseido Research Center
2-1, Hayabuchi 2-chome, Tsuzuki-ku,
Yokohama-shi

Kanagawa 224-8558 Japan

JAPANESE

Citizenship

Second Inventor

Masatoshi Ochiai

Residence

Kanagawa, Japan

Mailing Address

c/o Shiseido Research Center
2-1, Hayabuchi 2-chome, Tsuzuki-ku,
Yokohama-shi

Kanagawa 224-8558 Japan

JAPANESE

Citizenship

(2) CORRESPONDENCE INFORMATION

Ronald R. Snider

Snider & Associates

P.O. Box 27613

Washington, DC 20038-7613

(3) APPLICANT INFORMATION

Title

Hair Dye Fixatives, Hair Dyes and Hair
Dyeing Methods

Total # Draw Sheets

3

Suggested Figure for

Publication

1

Atty Docket Number

IWA-168-USAP

Type of Application

Utility

(4) REPRESENTATIVE INFORMATION

Ronald R. Snider	Reg. # 24,962
Peter N. Lalos	Reg. # 19,789
Francis A. Keegan	Reg. # 19,245

(5) DOMESTIC PRIORITY INFORMATION

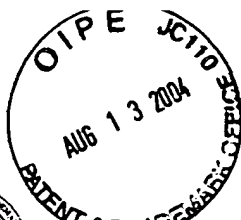
None

(6) FOREIGN PRIORITY INFORMATION

<u>Application Number</u>	2000-095023
<u>Country</u>	Japan
<u>Filing Date</u>	March 30, 2000

(7) ASSIGNEE INFORMATION

<u>Name</u>	Shiseido Co., Ltd.
<u>Address</u>	5-5, Ginza 7-chome, Chuo-ku Tokyo 104-8010 Japan



COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

CONFIRMATION NO. 4189

FILING RECEIPT



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AUG 17 2004

TC 1700 Date Mailed: 05/07/2001

Applicant(s)

Assignment For Published Patent Application

Shiseido Co., Ltd., Tokyo, JAPAN;

Domestic Priority data as claimed by applicant

Foreign Applications

JAPAN 2000-095023 03/30/2000

If Required, Foreign Filing License Granted 05/07/2001

Projected Publication Date: 10/04/2001

Non-Publication Request: No

Early Publication Request: No

Title

Hair dye fixatives, hair dyes and hair dyeing methods

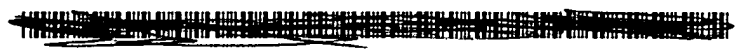
Preliminary Class

008

Data entry by : HAILE, TSEHAI

Team : OIPE

Date: 05/07/2001



**LICENSE FOR FOREIGN FILING UNDER
Title 35, United States Code, Section 184
Title 37, Code of Federal Regulations, 5.11 & 5.15**

GRANTED

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

NOT GRANTED

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15 (b).

PLEASE NOTE the following information about the Filing Receipt:

- The articles such as "a," "an" and "the" are not included as the first words in the title of an application. They are considered to be unnecessary to the understanding of the title.
- The words "new," "improved," "improvements in" or "relating to" are not included as first words in the title of an application because a patent application, by nature, is a new idea or improvement.
- The title may be truncated if it consists of more than 500 characters (letters and spaces combined).
- The docket number allows a maximum of 25 characters.
- If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, you should submit a request for a corrected Filing Receipt along with a copy of the Express Mail label showing the "date in."
- The title is recorded in sentence case.

Any corrections that may need to be done to your Filing Receipt should be directed to:

Assistant Commissioner for Patents
Office of Initial Patent Examination
Customer Service Center
Washington, DC 20231

S/N: 09/819,605



5/14/2001

DOCKET NO.: IWA-168-USAP

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Tomoyuki KAWASOE et al.

Serial No.: 09/819,605

Art Unit: 1751

Filed: MARCH 29, 2001

Examiner: TO BE ASSIGNED

For: HAIR DYE FIXATIVES, HAIR DYES AND HAIR DYEING METHODS

INFORMATION DISCLOSURE STATEMENT
PURSUANT TO 37 C.F.R. §§ 1.56, 1.97, and 1.98

Assistant Commissioner of
Patents and Trademarks
Washington, D.C. 20231

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AUG 17 2004

Sir:

TC 1700

In compliance with the dictates of 37 C.F.R. §§ 1.56, 1.97, and 1.98, Applicant hereby submits an Information Disclosure Statement.

The attached documents are mentioned in the present specification and a brief description of their relevance can be found therein.

It is respectfully requested that the Examiner consider each of these references and indicate such consideration by enclosing an appropriately initialled copy of the enclosed form PTO-1449 with the next communication from the Patent Office.

Respectfully submitted,

A handwritten signature in dark ink, appearing to read "Ronald R. Snider".

Ronald R. Snider
Attorney of Record
Reg. No. 24,962

Date: May 14, 2001
Snider & Associates
Ronald R. Snider
P.O. Box 27613
Washington, D.C. 20038-7613
(202) 347-2600

S/N: 09/819,605

AUG 13 2004

5/14/2001

DOCKET NO.: IWA-168-USAP

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Tomoyuki KAWASOE et al.

Serial No.: 09/819,605

Filed: MARCH 29, 2001

For: HAIR DYE FIXATIVES, HAIR DYES AND HAIR DYEING METHODS

Art Unit: 1751

RECEIVED

Examiner: TO BE ASSIGNED

AUG 17 2004

TC 1700

PTO FORM 1449 SUBMISSION

U.S. PATENT DOCUMENTS			
Examiner Initials*	U.S. Patent Document Number	Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY

FOREIGN PATENT DOCUMENTS				
Examiner Initials*	Foreign Patent Document Number	Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	T**

OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS		
Examiners Initials*	Include Author (CAPITAL LETTERS), title of article, book, magazine, etc. date, page(s), volume-issue number(s), publisher, city and/or country where published	T**
	JAPANESE PATENT OFFICE, Japanese Patent Publication Hei 2-32253, Issue Date: January 30, 1986, Application Number: JP 1984000141121, Filing Date: July 6, 1984.	

Examiner Signature		Date Considered	
--------------------	--	-----------------	--

*Examiner: Initial if reference is considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

**Applicant is to place a check mark here if English language translation is attached

Japanese Patent Publication Hei 2-32253

Title : HAIR DYE

Inventor(s) : KANAYAMA HIROSHI

MINAMINO HIROMI

INUI MASAYOSHI

Applicant(s) : KANEBO LTD

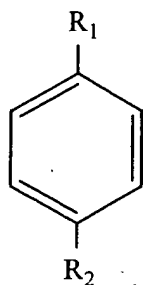
Issued/Filed Dates : Jan. 30, 1986 / July 6, 1984

Application Number : JP1984000141121

Abstract :

Purpose : A hair dye, containing an aromatic alcohol, xanthan gum, acid dye, acid and water, having improved color fastness, and capable of dyeing articles uniformly in a short time.

Constitution : A hair dye obtained by incorporating (A) 1.5 to 79.2wt% aromatic alcohol expressed by the following formula :



[In the above formula R₁ is H, CH₃ or OCH₃; R₂ is CH₂OH, CH₂CH₂OH, C(CH₃)HOH, CH₂CH₂CH₂OH, C(CH₃)₂OH, CH₂C(CH₃)HOH, C(CH₃)HCH₂OH, CH=CHCH₂OH or OCH₂CH₂OH], with (B) 0.5 to 3.5wt% xanthan gum, (C) 0.01 to 20wt% acid dye, (D) 10.0 to 97wt% water with the condition that the weight ratio of the component (A) to (D) is in the range of 5/95 to 60/40, and (E) an acid in an amount required to adjust the pH of the hair dye in the range from 1.2 to 4.0.



Inv H-168
UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office
ASSISTANT SECRETARY AND COMMISSIONER
OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

JUNE 14, 2001

PTAS

RONALD R. SNIDER
P.O. BOX 27613
WASHINGTON, D.C. 20038-7613



101667061A

UNITED STATES PATENT AND TRADEMARK OFFICE
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 03/29/2001

REEL/FRAME: 011660/0188
NUMBER OF PAGES: 2

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:
KAWASOE, TOMOYUKI

DOC DATE: 03/21/2001

ASSIGNOR:
OCHIAI, MASATOSHI

DOC DATE: 03/21/2001

ASSIGNEE:
SHISEIDO CO., LTD.
5-5, GINZA 7-CHOME, CHUO-KU
TOKYO 104-8010, JAPAN

SERIAL NUMBER: 09819605
PATENT NUMBER:

FILING DATE: 03/29/2001
ISSUE DATE:

SHARON LATIMER, EXAMINER
ASSIGNMENT DIVISION
OFFICE OF PUBLIC RECORDS

03/29/01

04-12-2001

RECO



DEPARTMENT OF COMMERCE

Patent and Trademark Office

kt No: IWA-168-USAP

101667061

Commissioner of Patents and Trademarks: please record in...

ents or copy thereof.

PTO
09/819605

03/29/01

1. Name of conveying party(ies):

KAWASOE, Tomoyuki

OCHIAI, Masatoshi

Additional name(s) of conveying party(ies) attached? Yes _ No X

3. Nature of conveyance:

X Assignment

Merger

Security Agreement

Change of Name

Other:

Execution Date: March 21, 2001

2. Name and address of receiving party(ies):

Name: Shiseido Co., Ltd.

St. Address: 5-5, Ginza 7-chome, Chuo-

City: Tokyo

Postal Code: 104-8010 Country: Japan

Additional name(s) & address(es) attached? Yes _ No X

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is: March 29, 2001

A. Patent Application No.(s)

B. Patent No.(s)

Additional numbers attached? Yes _ No X

09/819605

5. Name and address of party to whom correspondence concerning document should be mailed:

Ronald R. Snider

P.O. Box 27613

Washington, D.C. 20038-7613

(202-347-2600)

6. Total number of applications and patents involved: 1

7. Total fee (37 CFR 3.41): \$40.00

X Enclosed

X Authorized to be charged to deposit account if any error.

8. Deposit account number:

19-2816

(Attach duplicate copy of this page if paying by deposit account)

03/30/2001 WKOROMA 00000025 09819605

04 FEB 2001

40.00 DP

DO NOT USE THIS SPACE

9. Statement and signature: To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Ronald R. Snider

Name of Person Signing

Registration No. 24.962

Signature

March 29, 2001

Date

Total number of pages comprising cover sheet, attachments and document: 2

Mail documents to be recorded with required cover sheet information to:

Commissioner of Patents and Trademarks

Box Assignments

Washington, D.C. 20231

ASSIGNMENT

WHEREAS I/We, the below named inventor(s), [hereinafter referred to as Assignor(s)], have made an invention entitled:
HAIR DYE FIXATIVES, HAIR DYES AND HAIR DYEING METHODS

(Title of Invention)

for which I/We executed an application for United States Letters Patent concurrently herewith or filed an application for United States Letters Patent on _____, 19____ (Serial No. _____); and

WHEREAS, SHISEIDO CO., LTD.

JAPAN

(Full Name of Assignee)

a corporation of _____

whose post office address is 5-5, Ginza 7-chome, Chuo-ku, TOKYO 104-8010 JAPAN

(Country of Incorporation)

(hereinafter referred to as Assignee), is desirous of securing the entire right, title, and interest in and to this invention, the application for United States Letters Patent on this invention and the Letters Patent to be issued upon this application;

NOW THEREFORE, be it known that, for good and valuable consideration the receipt of which from assignee is hereby acknowledged, I/We, as assignor(s), have sold, assigned, transferred, and set over, and do hereby sell, assign, transfer, and set over unto the assignee, its lawful successors and assigns, my/our entire right, title, and interest in and to this invention and this application, and all divisions, and continuations thereof, and all Letters Patent of the United States which may be granted thereon, and all reissues thereof; and I/We hereby authorize and request the Commissioner of Patents and Trademarks of the United States to issue all Letters Patent for this invention to assignee, its successors and assigns, in accordance with the terms of this Assignment;

AND, I/WE HEREBY further covenant and agree that I/We will, without further consideration, communicate with assignee, its successors and assigns, any facts known to me/us respecting this invention and testify in any legal proceeding, sign all lawful papers when called upon to do so, execute and deliver all papers that may be necessary or desirable to perfect the title to this invention in said assignee, its successors and assigns, execute all divisional, continuation, and reissue applications, make all rightful oaths and generally do everything possible to aid assignee, its successors and assigns, to obtain and enforce proper patent protection for this invention in the United States, it being understood that any expense incident to the execution of such papers shall be borne by the assignee, its successors and assigns.

IN TESTIMONY WHEREOF, I/We have hereunto set our hand(s).

1. FULL NAME OF SOLE OR FIRST ASSIGNOR Tomoyuki KAWASOE	ASSIGNOR'S SIGNATURE <i>Tomoyuki Kawasoe</i>	DATE March 21, 2001
ADDRESS C/O SHISEIDO RESEARCH CENTER (SHIN-YOKOHAMA), 2-1, Hayabuchi 2-chome, Tsuzuki-ku, Yokohama-shi, KANAGAWA 224-8558 JAPAN		CITIZENSHIP JAPANESE
2. FULL NAME OF SECOND ASSIGNOR, IF ANY Masatoshi OCHIAI	ASSIGNOR'S SIGNATURE <i>Masatoshi Ochiai</i>	DATE March 21, 2001
ADDRESS C/O SHISEIDO RESEARCH CENTER (SHIN-YOKOHAMA), 2-1, Hayabuchi 2-chome, Tsuzuki-ku, Yokohama-shi, KANAGAWA 224-8558 JAPAN		CITIZENSHIP JAPANESE
3. FULL NAME OF THIRD ASSIGNOR, IF ANY	ASSIGNOR'S SIGNATURE	DATE
ADDRESS		CITIZENSHIP
4. FULL NAME OF FOURTH ASSIGNOR, IF ANY	ASSIGNOR'S SIGNATURE	DATE
ADDRESS		CITIZENSHIP
5. FULL NAME OF FIFTH ASSIGNOR, IF ANY	ASSIGNOR'S SIGNATURE	DATE
ADDRESS		CITIZENSHIP
6. FULL NAME OF SIXTH ASSIGNOR, IF ANY	ASSIGNOR'S SIGNATURE	DATE
ADDRESS		CITIZENSHIP

SNIDER

WASHINGTON, DC

PO BOX 27613, WASHINGTON, DC 200038-7613

S/N: TBA

3/29/2001

DOCKET NO.: IWA-168-USAP

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Tomoyuki KAWASOE et al.

Serial No.: TO BE ASSIGNED

Art Unit: TO BE ASSIGNED

Filed: MARCH 29, 2001

Examiner: TO BE ASSIGNED

For: HAIR DYE FIXATIVES, HAIR DYES AND HAIR DYEING METHODS

PRIORITY DOCUMENT TRANSMITTAL


Assistant Commissioner of
Patents and Trademarks
Washington, D.C. 20231

Sir:

In accordance with the provisions of 37 CFR 1.55 and the requirements of 35 U.S.C. 119, attached hereto is a certified copy of the priority document, Japanese Patent Application No. 2000-095023 filed March 30, 2000.

It is respectfully requested that applicant be granted the benefit of the filing date of the foreign application and that receipt of this priority document be acknowledged in due course.

Respectfully submitted,


Ronald R. Snider
Reg. No. 24,962

Date: March 29, 2001

Snider & Associates
Ronald R. Snider
P.O. Box 27613
Washington, D.C. 20038-7613
(202) 347-2600

RRS/bam

特許庁
PATENT OFFICE
JAPANESE GOVERNMENT

別紙添付の書類に記載されている事項は下記の出願書類に記載されて
いる事項と同一であることを証明する。

This is to certify that the annexed is a true copy of the following application as filed
with this Office.

出願年月日
Date of Application:

2000年 3月30日

願番号
Application Number:

特願2000-095023

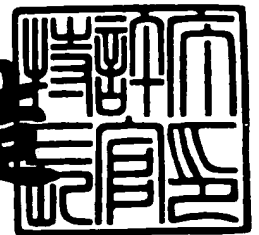
願人
Applicant(s):

株式会社資生堂

2001年 3月 9日

特許庁長官
Commissioner,
Patent Office

及川耕造



出証番号 出証特2001-3018190

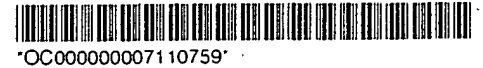


UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
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APPLICATION NUMBER	FILING DATE	FIRST NAMED APPLICANT	ATTY. DOCKET NO.
09/819,605	03/29/2001	Tomoyuki Kawasoe	IWA-168-USAP

CONFIRMATION NO. 4189



Ronald R. Snider
Snider & Associates
P.O. Box 27613
Washington, DC 20038-7613

Title: Hair dye fixatives, hair dyes and hair dyeing methods

Publication No. US-2001-0042276-A1
Publication Date: 11/22/2001

Date Mailed: 11/23/2001

NOTICE OF PUBLICATION OF APPLICATION

The above-identified application will be electronically published as a patent application publication pursuant to 37 CFR 1.211, et seq. The patent application publication number and publication date are set forth above.

The publication may be accessed through the USPTO's publically available Searchable Databases via the Internet at www.uspto.gov. The direct link to access the publication is currently <http://www.uspto.gov/patft/>.

The publication process established by the Office does not provide for mailing a copy of the publication to applicant. A copy of the publication may be obtained from the Office upon payment of the appropriate fee set forth in 37 CFR 1.19(a)(1). Orders for copies of patent application publications are handled by the USPTO's Office of Public Records. The Office of Public Records can be reached by telephone at (703) 308-9726 or (800) 972-6382, by facsimile at (703) 305-8759, by mail addressed to the United States Patent and Trademark Office, Office of Public Records, Crystal Gateway 4, Room 335, Washington, D.C. 20231, or via the Internet.

In addition, information on the status of the application, including the mailing date of Office actions and the dates of receipt of correspondence filed in the Office, may also be accessed via the Internet through the Patent Electronic Business Center at www.uspto.gov using the public side of the Patent Application Information and Retrieval (PAIR) system. The direct link to access this status information is currently <http://pair.uspto.gov/>. Prior to publication, such status information is confidential and may only be obtained by applicant using the private side of PAIR.

Further assistance in electronically accessing the publication, or about PAIR, is available by calling the Patent Electronic Business Center at (703) 305-3028.

Customer Service Center
Initial Patent Examination Division (703) 308-1202

S/N: 09/819,605

9/30/2002

DOCKET NO.: IWA-168-USAP

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Tomoyuki KAWASOE et al.

Serial No.: 09/819,605

Art Unit: 1751

Filed: MARCH 29, 2001

Examiner: Ann Marie Koss

For: HAIR DYE FIXATIVES, HAIR DYES AND HAIR DYEING METHODS

TRANSMITTAL

Assistant Commissioner of
Patents and Trademarks
Washington, D.C. 20231
Box: Fee Amendments

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AUG 17 2004

TC 1700

Sir: TRANSMITTED HERewith IS

☐ A RESPONSE, ☒ AN AMENDMENT, ☐ AN AMENDMENT AFTER FINAL,

IN THE ABOVE-IDENTIFIED APPLICATION.

☐ Small entity status of this application under 37 CFR §1.9(f) is established
by a verified statement under 37 CFR §1.27 ☐ previously submitted.

☐ submitted herewith.

☐ No additional fee is required, as shown below.

☒ Petition for Extension of Time Under 37 CFR § 1.136(a)
(Three Months) and Check for \$920.00

CLAIMS PENDING AFTER AMENDMENT		CLAIMS PREVIOUSLY PAID		NEW CLAIMS EXTRA		ADDITIONAL FEES			
						SMALL ENTITY		OTHER THAN SMALL ENTITY	
TOTAL	75	MINUS	81	=	0	x\$9=	0.00	x\$18=	0.00
INDEP	6	MINUS	6	=	0	x\$42=	0.00	x\$84=	0.00
NEW MULTIPLE DEPENDENT CLAIMS					0	x\$140=	0.00	x\$280=	0.00
AND CLAIMS DEPENDENT THEREON					0	x\$140=	0.00	x\$280=	0.00
TOTAL ADDITIONAL FEE						0.00		0.00	

S/N: 09/819,605

9/30/2002

DOCKET NO.: IWA-168-USAP

☒ X

This amount is believed to be correct, however, the Commissioner is hereby authorized to charge any deficiency or credit any overpayment to Deposit Account No. 19-2816. This authorization applies to both filing fees under 37 CFR \$1.16 and processing fees (such as extension of time) under 37 CFR \$1.17. A duplicate copy of this transmittal is attached.

Respectfully Submitted,



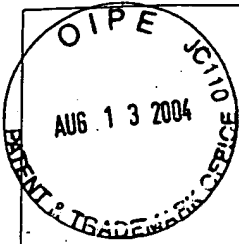
Ronald R. Snider
Registration No. 24,962

Date: September 30, 2002

Snider & Associates
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(202) 347-2600

RRS/bam

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Declaration and Power of Attorney for Patent Application

特許出願宣言書及び委任状

Japanese Language Declaration

日本語宣言書

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私は、以下に記名された発明者として、ここに下記の通り宣言する：

川副 智行

私の住所、郵便の宛先として国籍は、私の氏名の後に記載された通りである。

〒224-8558

日本国神奈川県横浜市都筑区早刈2丁目2番15

株式会社資生堂リサーチセンター(新横浜)内

下記の名義の発明について、特許請求範囲に記載され、且つ特許が求められている発明主題に関して、私は、最初、最先且つ唯一の発明者である（唯一の氏名が記載されている場合）か、或いは最初、最先且つ共同発明者である（複数の氏名が記載されている場合）と信じている。

染毛固定化剤、染毛材料及び

染毛方法

As a below named inventor, I hereby declare that:

Tomoyuki KAWASOE; c/o SHISEIDO RESEARCH CENTER (SHIN-YOKOHAMA), 2-1, Hayabuchi 2-chome, Tsuzuki-ku, Yokohama-shi, KANAGAWA 224-8558 JAPAN

My residence, post office address and citizenship are as stated next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled

HAIR DYE FIXATIVES, HAIR DYES AND
HAIR DYEING METHODS

上記発明の明細書はここに添付されているが、下記の欄がチェックされている場合は、この限りでない：

☐ _____ の日に出版され、
この出版の米国出版番号またはPCT国際出版番号は、
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the specification of which is attached hereto unless the following box is checked:

☐ was filed on _____
as United States Application Number or
PCT International Application Number
_____ and was amended on
_____ (if applicable).

私は、上記の補正書によって補正された、特許請求範囲を含む上記明細書を検討し、且つ内容を理解していることをここに表明する。

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

私は、連邦規則法典第37編規則1.56に定義されている、特許性について重要な情報を開示する義務があることを認める。

I acknowledge the duty to disclose information which is material to patentability as defined in Title 37, Code of Federal Regulations, Section 1.56.

Burden Hour Statement: This form is estimated to take 0.4 hours to complete. Time will vary depending upon the need of the individual case. Any comments on the amount of time you are required to complete this form should be sent to Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner of Patents and Trademarks, Washington, DC 20231.

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Japanese Language Declaration
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私は、ここに、以下に記載した外国での特許出願または発明者証の出願、或いは米国以外の少なくとも一國を指定している米国法典第35編第365条(a)によるPCT国際出願について、同第119条(a)-(d)項又は第365条(b)項に基づいて優先権を主張するとともに、優先権を主張する本出願の出願日より前の出願日を有する外国での特許出願または発明者証の出願、或いはPCT国際出願については、いかなる出願も、下記の枠内をチェックすることにより示した。

I hereby claim foreign priority under Title 35, United States Code, Section 119(a)-(d) or 365(b) of any foreign application(s) for patent or inventor's certificate, or 365(a) of any PCT International application which designated at least one country other than the United States listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate, or PCT International application having a filing date before that of the application for which priority is claimed.

Prior Foreign Application(s)
外国での先行出願

Priority Not Claimed
優先権主張なし

2000-95023

JAPAN

March 30, 2000

(Number)
(番号)

(Country)
(国名)

(Day/Month/Year Filed)
(出願日/月/年)

☐

(Number)
(番号)

(Country)
(国名)

(Day/Month/Year Filed)
(出願日/月/年)

☐

私は、ここに、下記のいかなる米国仮特許出願についても、その米国法典第35編第119条(e)項の利益を主張する。

I hereby claim the benefit under Title 35, United States Code, Section 119(e) of any United States provisional application(s) listed below.

(Application No.)
(出願番号)

(Filing Date)
(出願日)

(Application No.)
(出願番号)

(Filing Date)
(出願日)

私は、ここに、下記のいかなる米国出願についても、その米国法典第35編第120条に基づく利益を主張し、又米國を指定するいかなるPCT国際出願についても、その同第365条(c)に基づく利益を主張する。また、本出願の各特許請求の範囲の主題が、米国法典第35編第112条第1段に規定された態様で、先行する米国出願又はPCT国際出願に開示されていない場合においては、その先行出願の出願日と本国内出願日またはPCT国際出願日との間の期間中に入手された情報で、連邦規則法典第37編規則1.56に定義された特許性に関わる重要な情報について開示義務があることを承認する。

I hereby claim the benefit under Title 35, United States Code, Section 120 of any United States application(s), or 365(c) of any PCT International application designating the United States, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT International application in the manner provided by the first paragraph of Title 35, United States Code Section 112, I acknowledge the duty to disclose information which is material to patentability as defined in Title 37, Code of Federal Regulations, Section 1.56 which became available between the filing date of the prior application and the national or PCT International filing date of application.

(Application No.)
(出願番号)

(Filing Date)
(出願日)

(Status: Patented, Pending, Abandoned)
(現況: 特許許可、係属中、放棄)

(Application No.)
(出願番号)

(Filing Date)
(出願日)

(Status: Patented, Pending, Abandoned)
(現況: 特許許可、係属中、放棄)

私は、ここに表明された私自身の知識に係わる陳述が真実であり、且つ情報と信ずることに基づく陳述が、真実であると信じられることを宣言し、さらに、故意に虚偽の陳述などを行った場合は、米国法典第18編第1001条に基づき、罰金または拘禁、若しくはその両方により処罰され、またそのような故意による虚偽の陳述は、本出願またはそれに対して発行されるいかなる特許も、その有効性に問題が生ずることを理解した上で陳述が行われたことを、ここに宣言する。

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

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Japanese Language Declaration
(日本語宣言書)

委任状: 私は本出願を審査する手続を行い、且つ米国特許商標庁との全ての業務を遂行するために、記名された発明者として、下記の弁護士及び/または弁理士を任命する。(氏名及び登録番号を記載すること)

Ronald R. Snider - 24,962; Peter Lalos - 19,789; Francis A. Keegan - 19,245

POWER OF ATTORNEY: As a named inventor, I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith (list name and registration number).

書類送付先

Send Correspondence to:

Ronald R. Snider
PO Box 27613
Washington, DC 20038-7613

直通電話連絡先: (氏名及び電話番号)

Direct Telephone Calls to: (name and telephone number)

Ronald R. Snider
202-347-2600

唯一または第一発明者氏名

Full name of sole or first inventor

川副智行

Tomoyuki KAWASOE

発明者の署名

日付

Inventor's signature

Date

川副智行

2001年3月21日

Tomoyuki Kawasoe March 21, 2001

住所

Residence

神奈川県

KANAGAWA

国籍

Citizenship

日本

JAPANESE

郵便の宛先

Post Office Address

〒224-8558

c/o SHISEIDO RESEARCH CENTER(SHIN-YOKOHAMA),

日本国神奈川県横浜市都筑区早瀬2丁目2番1号

2-1, Hayabuchi 2-chome, Tsuzuki-ku,
Yokohama-shi, KANAGAWA 224-8558 JAPAN

第二共同発明者がいる場合、その氏名

Full name of second joint inventor, if any

落合正敏

Masatoshi OCHIAI

第二共同発明者の署名

日付

Second inventor's signature

Date

落合正敏

2001年3月21日

Masatoshi Ochiai March 21, 2001

住所

Residence

神奈川県

KANAGAWA

国籍

Citizenship

日本

JAPANESE

郵便の宛先

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〒224-8558

〒224-8558 Masatoshi Ochiai

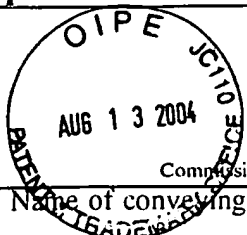
c/o SHISEIDO RESEARCH CENTER(SHIN-YOKOHAMA),

日本国神奈川県横浜市都筑区早瀬2丁目2番1号

2-1, Hayabuchi 2-chome, Tsuzuki-ku,
Yokohama-shi, KANAGAWA 224-8558 JAPAN

(第三以下の共同発明者についても同様に記載し、署名すること)

(Supply similar information and signature for third and subsequent joint inventors.)



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RECORDATION FORM COVER SHEET
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Patent and Trademark Office
Atty Dkt No: IWA-168-USAP

Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):

KAWASOE, Tomoyuki

OCHIAI, Masatoshi

Additional name(s) of conveying party(ies) attached? Yes _ No X

3. Nature of conveyance:

X Assignment

Merger

Security Agreement

Change of Name

Other:

Execution Date: March 21, 2001

2. Name and address of receiving party(ies):

Name: Shiseido Co., Ltd.

St. Address: 5-5, Ginza 7-chome, Chuo-ku

City: Tokyo

Postal Code: 104-8010, Country: Japan

Additional name(s) & address(es) attached? Yes _ No X

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4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is: March 29, 2001

A. Patent Application No.(s)

B. Patent No.(s)

Additional numbers attached? Yes _ No X

5. Name and address of party to whom correspondence concerning document should be mailed:

Ronald R. Snider

P.O. Box 27613

Washington, D.C. 20038-7613

(202-347-2600)

6. Total number of applications and patents involved: 1

7. Total fee (37 CFR 3.41): \$40.00

X Enclosed

X Authorized to be charged to deposit account
if any error.

8. Deposit account number:

19-2816

(Attach duplicate copy of this page if paying by deposit account)

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9. Statement and signature: To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Ronald R. Snider

Name of Person Signing

Registration No. 24,962

Signature

March 29, 2001

Date

Total number of pages comprising cover sheet, attachments and document: 2

Mail documents to be recorded with required cover sheet information to:

Commissioner of Patents and Trademarks

Box Assignments

Washington, D.C. 20231

ASSIGNMENT

WHEREAS I/We, the below named inventor(s), [hereinafter referred to as Assignor(s)], have made an invention entitled:
HAIR DYE FIXATIVES, HAIR DYES AND HAIR DYEING METHODS

(Title of Invention)

for which I/We executed an application for United States Letters Patent concurrently herewith or filed an application for United States Letters Patent on _____, 19 _____ (Serial No. _____); and

WHEREAS, **SHISEIDO CO., LTD.**

JAPAN

(Full Name of Assignee)

a corporation of

whose post office address is **5-5, Ginza 7-chome, Chuo-ku, TOKYO 104-8010 JAPAN**

(Country of Incorporation)

(hereinafter referred to as Assignee), is desirous of securing the entire right, title, and interest in and to this invention, the application for United States Letters Patent on this invention and the Letters Patent to be issued upon this application;

NOW THEREFORE, be it known that, for good and valuable consideration the receipt of which from assignee is hereby acknowledged, I/We, as assignor(s), have sold, assigned, transferred, and set over, and do hereby sell, assign, transfer, and set over unto the assignee, its lawful successors and assigns, my/our entire right, title, and interest in and to this invention and this application, and all divisions, and continuations thereof, and all Letters Patent of the United States which may be granted thereon, and all reissues thereof; and I/We hereby authorize and request the Commissioner of Patents and Trademarks of the United States to issue all Letters Patent for this invention to assignee, its successors and assigns, in accordance with the terms of this Assignment;

AND, I/WE HEREBY further covenant and agree that I/We will, without further consideration, communicate with assignee, its successors and assigns, any facts known to me/us respecting this invention and testify in any legal proceeding, sign all lawful papers when called upon to do so, execute and deliver all papers that may be necessary or desirable to perfect the title to this invention in said assignee, its successors and assigns, execute all divisional, continuation, and reissue applications, make all rightful oaths and generally do everything possible to aid assignee, its successors and assigns, to obtain and enforce proper patent protection for this invention in the United States, it being understood that any expense incident to the execution of such papers shall be borne by the assignee, its successors and assigns.

IN TESTIMONY WHEREOF, I/We have hereunto set our hand(s).

1. FULL NAME OF SOLE OR FIRST ASSIGNOR Tomoyuki KAWASOE	ASSIGNOR'S SIGNATURE <i>Tomoyuki Kawasoe</i>	DATE March 21, 2001
ADDRESS C/o SHISEIDO RESEARCH CENTER (SHIN-YOKOHAMA), 2-1, Hayabuchi 2-chome, Tsuzuki-ku, Yokohama-shi, KANAGAWA 224-8558 JAPAN		CITIZENSHIP JAPANESE
2. FULL NAME OF SECOND ASSIGNOR, IF ANY Masatoshi OCHIAI	ASSIGNOR'S SIGNATURE <i>Masatoshi Ochiai</i>	DATE March 21, 2001
ADDRESS C/o SHISEIDO RESEARCH CENTER (SHIN-YOKOHAMA), 2-1, Hayabuchi 2-chome, Tsuzuki-ku, Yokohama-shi, KANAGAWA 224-8558 JAPAN		CITIZENSHIP JAPANESE
3. FULL NAME OF THIRD ASSIGNOR, IF ANY	ASSIGNOR'S SIGNATURE	DATE
ADDRESS		CITIZENSHIP
4. FULL NAME OF FOURTH ASSIGNOR, IF ANY	ASSIGNOR'S SIGNATURE	DATE
ADDRESS		CITIZENSHIP
5. FULL NAME OF FIFTH ASSIGNOR, IF ANY	ASSIGNOR'S SIGNATURE	DATE
ADDRESS		CITIZENSHIP
6. FULL NAME OF SIXTH ASSIGNOR, IF ANY	ASSIGNOR'S SIGNATURE	DATE
ADDRESS		CITIZENSHIP

SNIDER

WASHINGTON, DC

PO BOX 27613, WASHINGTON, DC 200038-7613